

§ 156.3

(vi) Identification of all other broker associations with which each member is associated; and

(vii) Individual(s) authorized to represent the association in connection with its registration obligations.

Any registration information provided to the contract market which becomes deficient or inaccurate must be updated or corrected promptly.

(c) *Other contract market rules.* (1) Each contract market may submit rules pursuant to section 5a(a)(12)(A) of the Act and Commission Regulation 1.41 that interpret when contract market members would be deemed to “regularly share a deck of orders.” In the absence of such rules, a contract market must make such a determination on a case-by-case basis. The basis for a determination whether brokers “regularly share a deck of orders” must be documented.

(2) Each contract market may adopt rules, which must be submitted to the Commission pursuant to section 5a(a)(12)(A) of the Act and Commission Regulation 1.41, which set forth the basis and procedures for granting exemptions from the registration requirement contained in paragraph (b) of this section for de minimis activity.

§ 156.3 Contract market program for enforcement.

A contract market must, as part of its responsibilities pursuant to the Act and § 1.51, demonstrate effective use of broker association registration information to monitor the trading activity of broker associations and their members for potential abuse and to secure compliance with all other contract market bylaws, rules, regulations and resolutions which may pertain to such associations or their members.

§ 156.4 Disclosure of Broker Association Membership.

Each contract market shall make available to the public generally and upon request a list of all registered broker associations which identifies for each such association the name of each person who is a member or otherwise has a direct beneficial interest in the association. This list shall be updated at least semi-annually.

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17 CFR Ch. I (4–1–10 Edition)

PART 160—PRIVACY OF CONSUMER FINANCIAL INFORMATION

Sec.

160.1 Purpose and scope.

160.2 Rule of construction.

160.3 Definitions.

Subpart A—Privacy and Opt Out Notices

160.4 Initial privacy notice to consumers required.

160.5 Annual privacy notice to customers required.

160.6 Information to be included in privacy notices.

160.7 Form of opt out notice to consumers; opt out methods.

160.8 Revised privacy notices.

160.9 Delivering privacy and opt out notices.

Subpart B—Limits on Disclosures

160.10 Limits on disclosure of nonpublic personal information to nonaffiliated third parties.

160.11 Limits on redisclosure and re-use of information.

160.12 Limits on sharing account number information for marketing purposes.

Subpart C—Exceptions

160.13 Exception to opt out requirements for service providers and joint marketing.

160.14 Exceptions to notice and opt out requirements for processing and servicing transactions.

160.15 Other exceptions to notice and opt out requirements.

Subpart D—Relation to Other Laws; Effective Date

160.16 Protection of Fair Credit Reporting Act.

160.17 Relation to state laws.

160.18 Effective date; transition rule.

160.19–160.29 [Reserved]

160.30 Procedures to safeguard customer records and information.

APPENDIX A TO PART 160—MODEL PRIVACY FORM

APPENDIX B TO PART 160—SAMPLE CLAUSES

AUTHORITY: 7 U.S.C. 7b-2 and 12a(5); 15 U.S.C. 6801 *et seq.*

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